PAGE 1 / 32

Image# 201601299004781736

FEC

REPORT OF RECEIPTS AND DISBURSEMENTS

FURINI 3X	For Other Than An Autho	rized Committee	Office U	lse Only
1. NAME OF COMMITTEE (in full)	TYPE OR PRINT ▼	Example: If typing, type over the lines.	12FE4M5	
Securities Industry and	d Financial Markets Ass	sociation Political Action	on Committee	
ADDRESS (number and street) Check if different than previously reported. (ACC)	8th Floor Washington		DC 20008	5
2. FEC IDENTIFICATION NU	JMBER ▼ CITY	A	STATE A	ZIP CODE ▲
C C00431312	3. IS T	THIS X NEW OR	AMENDED (A)	
4. TYPE OF REPORT (Choose One) (a) Quarterly Reports: April 15 Quarterly Report (Classical Contents) July 15 Quarterly Report (Classical Contents) October 15 Quarterly Report (Classical Contents) January 31 Year-End Report (Ylear Report (Non-election Year Only) (MY) Termination Report (TER)	PRE-Election Report for the: (d) 30-Day	O (M3) Jun 20 (M6) (M4) Jul 20 (M7) Primary (12P) Convention (12C) M M M / D D /	Aug 20 (M8) Sep 20 (M9) Oct 20 (M10) General (12G) Special (12S) Runoff (30R)	Nov 20 (M11) (Non-Election Year Only) Dec 20 (M12) (Non-Election Year Only) X Jan 31 (YE) Runoff (12R) in the State of Special (30S) in the State of
5. Covering Period 12		through 12		15
I certify that I have examined th Type or Print Name of Treasure		y knowledge and belief it is tr	ue, correct and comple	ete.
	Kenneth E. Bentsen Jr.	[Electronically Filed]	Date 01 29	2016
NOTE: Submission of false, errone	eous, or incomplete information n	nay subject the person signing t	this Report to the penalt	ies of 2 U.S.C. §437g.
Office Use				FORM 3X Rev. 12/2004

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

2015 2015 Report Covering the Period: 31 From: To: **COLUMN A COLUMN B** This Period Calendar Year-to-Date (a) Cash on Hand 147691.99 January 1, 2015 (b) Cash on Hand at 80784.29 Beginning of Reporting Period..... 382563.14 31155.17 (c) Total Receipts (from Line 19) (d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 111939.46 530255.13 6(a) and 6(c) for Column B)..... 16805.29 435120.96 Total Disbursements (from Line 31)...... Cash on Hand at Close of 8. Reporting Period 95134.17 95134.17 (subtract Line 7 from Line 6(d))..... Debts and Obligations Owed TO the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) 10. Debts and Obligations Owed BY the Committee (Itemize all on 0.00 Schedule C and/or Schedule D)

×

This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission 999 E Street, NW Washington, DC 20463

Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE

of Receipts

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

(a) Ind The (i) (ii) (iii) (b) Po (c) Oth (su (d) Tot 11(Tot Transfe Party C All Loan Loan R Offsets (Refund (Carry Refund to Fede Political Other F (Divider Transfe (a) Non	I. Receipts utions (other than loans) From: dividuals/Persons Other an Political Committees Itemized (use Schedule A) Unitemized To TOTAL (add Lines 11(a)(i) and (ii) litical Party Committees uch as PACs) tal Contributions (add Lines (a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) Ins From Affiliated/Other committees To Operating Expenditures ds, Rebates, etc.) Totals to Line 37, page 5)	139 170 309	03.48 0.00 03.48 0.00 000.00 03.48 0.00 0.00	Calendar Year-	275098.55 18975.76 294074.31 0.00 79000.00 373074.31 0.00 0.00
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(ii) (iii) (b) Po (c) Oth (su (d) Toth (su (d) Toth (su (d) Toth (su (d) Toth (su (d) Transfe (a) Non (su	Unitemized	139 170 309	0.00 03.48 0.00 000.00 03.48 0.00 0.00		294074.31 0.00 79000.00 373074.31 0.00 0.00
(b) Po (c) Oth (su (d) Tot 11(Tot Transfe Party C All Loan Loan R Offsets (Refund (Carry Refund to Fede Political Other F (Divider Transfe (a) Non	Ditical Party Committees	309	03.48 0.00 000.00 03.48 0.00 0.00		294074.31 0.00 79000.00 373074.31 0.00 0.00
(b) Po (c) Ott (su (d) Tot 11(Tot Transfe Party C All Loan Loan R Offsets (Refund (Carry Refund to Fede Political Other F (Divider Transfe (a) Non	Lines 11(a)(i) and (ii)	309	0.00 000.00 03.48 0.00 0.00		0.00 79000.00 373074.31 0.00 0.00
(c) Oth (su (su (d) Tot 11 (months) Transfe Party Con All Loan Roffsets (Refund (Carry Refunds to Feder Political Other Foundation (Divider Transfe (a) Non All Non All Control (substituting the contro	her Political Committees her Political Committees uch as PACs) tal Contributions (add Lines (a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) hers From Affiliated/Other committees To Operating Expenditures ds, Rebates, etc.)	309	0.00 000.00 03.48 0.00 0.00		0.00 79000.00 373074.31 0.00 0.00
(c) Oth (su (su (d) Tot 11 (months) Transfe Party Con All Loan Roffsets (Refund (Carry Refunds to Feder Political Other Foundation (Divider Transfe (a) Non All Non All Control (substituting the contro	her Political Committees uch as PACs) tal Contributions (add Lines (a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) ers From Affiliated/Other Committees To Operating Expenditures ds, Rebates, etc.)	309	000.00 03.48 0.00 0.00		79000.00 373074.31 0.00 0.00
(su (d) Tot 11(Tot Transfe Party C All Loan Loan R Offsets (Refund (Carry Refund to Fede Political Other F (Divider Transfe (a) Non	tal Contributions (add Lines (a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) To Operating Expenditures ds, Rebates, etc.)	309	03.48		373074.31 0.00 0.00
(d) Tot 11(Tot 11(Tot) Transfe Party C All Loan Loan R Offsets (Refund (Carry Refund to Fede Political Other F (Divider Transfe (a) Non	tal Contributions (add Lines (a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) rs From Affiliated/Other committees ns Received tepayments Received To Operating Expenditures ds, Rebates, etc.)	309	03.48		373074.31 0.00 0.00
Transfe Party C All Loan Loan R Offsets (Refund to Fede Political Other F (Divider Transfe (a) Non	(a)(iii), (b), and (c)) (Carry tals to Line 33, page 5) ars From Affiliated/Other committees Ins Received		0.00		0.00
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Loan R Offsets (Refunds to Feder Political Other F (Divider Transfe (a) Non	rs From Affiliated/Other Committees		0.00		0.00
Party C All Loan Loan R Offsets (Refund (Carry Refunds to Fede Political Other F (Divider Transfe (a) Non	rs Received	2!	0.00		0.00
Loan R Offsets (Refund) (Carry Refund) to Fede Political Other F (Divider Transfe (a) Non	repayments Received To Operating Expenditures ds, Rebates, etc.)	2!	0.00		0.00
Loan R Offsets (Refund) (Carry Refund) to Fede Political Other F (Divider Transfe (a) Non	depayments Received To Operating Expenditures ds, Rebates, etc.)	25			
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Offsets (Refund) (Carry Refund) to Fede Political Other F (Divider Transfe (a) Non	To Operating Expenditures ds, Rebates, etc.)	2!	0.00	7 7 7	0.00
Offsets (Refund) (Carry Refund) to Fede Political Other F (Divider Transfe (a) Non	To Operating Expenditures ds, Rebates, etc.)	2!		7	
(Refundation (Carry Refundation Feder Political Other Foundation (Divider Transferman) (a) Non-	ds, Rebates, etc.)	25			
(Carry Refunds to Feder Political Other F (Divider Transfe (a) Non	· · · · · · · · · · · · · · · · · · ·	25			
Refunds to Fede Political Other F (Divider Transfe (a) Non	retails to _iiis or, page symmetry		51.69		4113.83
to Fede Political Other F (Divider Transfe (a) Non	s of Contributions Made			7 7	
Political Other F (Divider Transfe (a) Non	eral Candidates and Other				
(Divider Transfe (a) Non	I Committees		0.00		5375.00
(Divider Transfe (a) Non	Federal Receipts				
Transfe (a) Non	nds, Interest, etc.)		0.00		0.00
	rs from Non-Federal and Levin Funds				
	n-Federal Account				
	om Schedule H3)		0.00		0.00
	=		- -		
(b) Levi	in Funds (from Schedule H5)		0.00		0.00
()	,				
(c) Tota	al Transfers (add 18(a) and 18(b))		0.00		0.00
	eceipts (add Lines 11(d), 14, 15, 16, 17, and 18(c))▶	311:	55.17	42	382563.14
Total F					
(subtrac	ederal Receipts				

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

	II. Disbursements	Total This Period			
	Operating Expenditures: (a) Allocated Federal/Non-Federal Activity (from Schedule H4)		Calendar Year-to-Date		
	(i) Federal Share	0.00	0.00		
	(ii) Non-Federal Share	0.00	0.00		
	(b) Other Federal Operating				
	Expenditures	305.29	4370.96		
	(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))▶	305.29	4370.96		
22.	Transfers to Affiliated/Other Party	7	1010.00		
10	Committees	0.00	0.00		
	Contributions to Federal Candidates/Committees and Other Political Committees	16500.00	430750.00		
24.	Independent Expenditures	0.00	0.00		
25.	(use Schedule E)	0.00	0.00		
	(2 U.S.C. §441a(d)) (use Schedule F)	0.00	0.00		
	i		7		
26.	Loan Repayments Made	0.00	0.00		
27.	Loans Made	0.00	0.00		
28.	Refunds of Contributions To: (a) Individuals/Persons Other				
	Than Political Committees	0.00	0.00		
	(b) Political Party Committees	0.00	0.00		
	(c) Other Political Committees				
	(such as PACs)	0.00	0.00		
	(d) Total Contribution Refunds				
	(add Lines 28(a), (b), and (c))▶	0.00	0.00		
20	Others Disharmon and	000	0.00		
29.	Other Disbursements	0.00	0.00		
30.	Federal Election Activity (2 U.S.C. §431(20))				
	(a) Allocated Federal Election Activity				
	(from Schedule H6) (i) Federal Share	0.00	0.00		
	·, · · · · · · · · · · · · · · · · · ·				
	(ii) "Levin" Share	0.00	0.00		
	(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00		
	(c) Total Federal Election Activity (add				
	Lines 30(a)(i), 30(a)(ii) and 30(b)) ▶	0.00	0.00		
81.	Total Disbursements (add Lines 21(c), 22,				
	23, 24, 25, 26, 27, 28(d), 29 and 30(c))	16805.29	435120.96		
	L.				
32.	Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii)				
	from Line 31)	16805.29	435120.96		

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
3. Total Contributions (other than loans) (from Line 11(d), page 3)	30903.48	373074.31
4. Total Contribution Refunds (from Line 28(d))	0.00	0.00
5. Net Contributions (other than loans) (subtract Line 34 from Line 33)	30903.48	373074.31
6. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))▶	305.29	4370.96
7. Offsets to Operating Expenditures (from Line 15, page 3)	251.69	4113.83
3. Net Operating Expenditures (subtract Line 37 from Line 36)	53.60	257.13

Use separate schedule(s) for each category of the Detailed Summary Page

FOF	LINE	NU	MBER	:	PAGE	6	OF	32
(che	ck only	or	ne)					
×	11a		11b		11c	12		
	13		14		15	16	,	17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

<i>,</i>	cial Markets Association Political Ac	ction Committee
Full Name (Last, First, Middle Initial) Kenneth E. Bentsen Jr. Mailing Address 1101 New York Ave NW Ste 800 City Machinetes	State Zip Code	Date of Receipt 12 09 2015 Transaction ID : E01ACC9E14B04C43A86
Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	DC 20005-4279 C Occupation President Aggregate Year-to-Date ▼ 5000.00	Amount of Each Receipt this Period 192.35
Full Name (Last, First, Middle Initial) Kenneth E. Bentsen Jr. Mailing Address 1101 New York Ave NW Ste 800 City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code DC 20005-4279 C Occupation President Aggregate Year-to-Date ▼ 5000.00	Date of Receipt 12 23 2015 Transaction ID : 2016010814754-1000 Amount of Each Receipt this Period 191.25
Full Name (Last, First, Middle Initial) Lisa Bleier Mailing Address 1101 New York Ave NW Ste 800 City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code DC 20005-4279 C Occupation Managing Director Aggregate Year-to-Date ▼	Date of Receipt 12 09 2015 Transaction ID: 970BA54476A4477FBA4 Amount of Each Receipt this Period 19.23
		402.83

Use separate schedule(s) for each category of the Detailed Summary Page

FOR	LINE	NU	MBER	:	PAGE	7	OF	32
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	13		14		15	16	6	17

	nd Statements may not be sold or used by any pers the name and address of any political committee t	
NAME OF COMMITTEE (In Full) Securities Industry and Finar	ncial Markets Association Political A	ction Committee
Full Name (Last, First, Middle Initial) Lisa Bleier Mailing Address 1101 New York Ave NW		Date of Receipt
Mailing Address 1101 New York Ave NW Ste 800		12 23 2015
City	State Zip Code	Transaction ID : 2016010814754-1001
Washington	DC 20005-4279	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer	Occupation	-
Securities Industry and Financial Mark	Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	1
Primary General Other (specify) ▼	499.98	
Full Name (Last, First, Middle Initial) Ananias Blocker	·	Date of Receipt
Mailing Address 1101 New York Ave NW		M = M / D = D / Y = Y = Y
Ste 800	State Zip Code	12 09 2015
Washington	DC 20005-4279	Transaction ID : F3B70CA52C08417BB650 Amount of Each Receipt this Period
	10000 1210	Amount of Each neceipt this Period
FEC ID number of contributing federal political committee.	C	300.00
Name of Employer	Occupation]
Securities Industry and Financial Mark	Executive Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 4800.00	
Full Name (Last, First, Middle Initial) C. Ananias Blocker		Date of Receipt
Mailing Address 1101 New York Ave NW Ste 800		12 23 2015
City	State Zip Code	Transaction ID: 2016010814754-1002
Washington	DC 20005-4279	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	300.00
Name of Employer	Occupation	-
Securities Industry and Financial Mark	Executive Vice President	
Receipt For:	Aggregate Year-to-Date ▼]
Primary General Other (specify) ▼	4800.00	
SUBTOTAL of Receipts This Page (optional)	619.23
TOTAL This Pariod (lost nose this line and	her only)	
TOTAL THIS Period (last page this line num	ber only)	

Use separate schedule(s) for each category of the Detailed Summary Page

F	OR	LINE	NU	MBER	:	PAGE	8	OF	32
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	X	11a		11b		11c	12		
		13		14		15	16	;	17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

NAME OF COMMITTEE (In Full)	ial Markets Association Political Ac	o solicit contributions from such committee.
Full Name (Last, First, Middle Initial) Kyle Brandon Mailing Address 1101 New York Ave NW Ste 800 City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code DC 20005-4279 C Occupation Managing Director, DOR Aggregate Year-to-Date ▼ 2499.90	Date of Receipt 12 09 2015 Transaction ID: F4CD84C8CD6B465DA8F Amount of Each Receipt this Period 96.15
Full Name (Last, First, Middle Initial) Kyle Brandon Mailing Address 1101 New York Ave NW Ste 800 City Washington FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code DC 20005-4279 C Occupation Managing Director, DOR Aggregate Year-to-Date ▼ 2499.90	Date of Receipt 12 23 2015 Transaction ID: 2016010814754-1003 Amount of Each Receipt this Period 96.15
Full Name (Last, First, Middle Initial) Kim Chamberlain Mailing Address 120 Broadway FI 35 City New York FEC ID number of contributing federal political committee. Name of Employer Securities Industry and Financial Mark Receipt For: Primary General Other (specify)	State Zip Code NY 10271-3599 C Occupation Managing Director & Counsel, State Gov Aggregate Year-to-Date ▼ 1000.00	Date of Receipt 12 09 2015 Transaction ID: C54E5BAB721F465AA37 Amount of Each Receipt this Period 38.50
SUBTOTAL of Receipts This Page (optional) TOTAL This Period (last page this line numbe	<u> </u>	230.80

Use separate schedule(s) for each category of the Detailed Summary Page

		NUMBER	:	PAGE	=	9	OF	32
(ch	eck only	one)						
>	1 1a	11b		11c		12		
	13	14		15		16		17

Any information copied from such Reports and S or for commercial purposes, other than using the	Statements may not be sold or used by any personal parties and address of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Financia	al Markets Association Political Ac	ction Committee
Full Name (Last, First, Middle Initial) A. Kim Chamberlain		Date of Receipt
Mailing Address 120 Broadway		M = M / D = D / Y = Y = Y = Y
Fl 35	State Zip Code	12 23 2015 Transaction ID : 2016010814754-1004
New York	NY 10271-3599	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	37.50
Name of Employer	Occupation	•
Securities Industry and Financial Mark	Managing Director & Counsel, State Gov	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1000.00	
Full Name (Last, First, Middle Initial) 3. Salvatore Chiarelli		Date of Receipt
Mailing Address 120 Broadway FI 35	7.0	12 09 2015
City New York	State Zip Code NY 10271-3599	Transaction ID : B8F3F501096F4444A37F Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	9.65
Name of Employer	Occupation	
Securities Industry and Financial Mark	Managing Director	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	
Full Name (Last, First, Middle Initial) C. Salvatore Chiarelli		Date of Receipt
Mailing Address 120 Broadway FI 35		12 23 2015
City New York	State Zip Code NY 10271-3599	Transaction ID : 2016010814754-1005 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	8.75
Name of Employer	Occupation	
Securities Industry and Financial Mark	Managing Director	
Receipt For: Primary General	Aggregate Year-to-Date ▼	
Other (specify)	250.00	
SUBTOTAL of Receipts This Page (optional)	•	55.90
TOTAL This Period (last page this line number	only)	

FOR LINE NUMBER: PAGE 10 OF 32 Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Cheryl Crispen Date of Receipt Mailing Address 1101 New York Ave NW Ste 800 09 2015 City Zip Code State Transaction ID: 1FB928537A6541FA80E1 DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Executive Vice President, Communicatio Receipt For: Aggregate Year-to-Date ▼ Primary General 2499.90 Other (specify) Full Name (Last, First, Middle Initial) B. Cheryl Crispen Date of Receipt Mailing Address 1101 New York Ave NW Ste 800 12 23 2015 City State Zip Code Transaction ID: 2016010814754-1006 DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Executive Vice President, Communicatio Receipt For: Aggregate Year-to-Date ▼ Primary General 2499.90 Other (specify) Full Name (Last, First, Middle Initial) c. Bradley Gaskins Edgell Date of Receipt Mailing Address 1101 New York Ave NW 09 2015 Ste 800 City Zip Code State Transaction ID: D9D8BFFBF29C4CF0A2AD DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 38.50 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) 230.80

SUBTOTAL of Receipts This Page (optional).....

TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 11 OF Use separate schedule(s) (check only one) X 11a 11b 12 11c

32

for each category of the Detailed Summary Page 13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Bradley Gaskins Edgell Date of Receipt Mailing Address 1101 New York Ave NW Ste 800 2015 City Zip Code State Transaction ID: 2016010814754-1007 DC 20005-4279 Washington Amount of Each Receipt this Period FEC ID number of contributing 37.50 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Tracy Eichler Date of Receipt Mailing Address 120 Broadway FI 35 12 09 2015 City State Zip Code Transaction ID: EE3DB483BAE849A789CC NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Director Receipt For: Aggregate Year-to-Date ▼ Primary General 499.98 Other (specify) Full Name (Last, First, Middle Initial) Tracy Eichler Date of Receipt Mailing Address 120 Broadway 23 2015 FI 35 City Zip Code State Transaction ID: 2016010814754-1008 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Director Receipt For: Aggregate Year-to-Date ▼ Primary General 499 98 Other (specify) 75.96 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only)..... - 9

FOR LINE NUMBER: PAGE 12 OF Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c

32

Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Vincent J. Ferrari Date of Receipt Mailing Address 12555 Manchester Rd 2015 City Zip Code State Transaction ID: 3AE120FB8D3D44A795D1 MO Saint Louis 63131-3710 Amount of Each Receipt this Period FEC ID number of contributing 5000.00 federal political committee. Name of Employer Occupation **Edward Jones** Principal Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Lisa Fues Date of Receipt Mailing Address 1101 New York Ave NW Ste 800 12 09 2015 City State Zip Code Transaction ID: F26A4AE8D97F412A88FD DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Vice President Receipt For: Aggregate Year-to-Date ▼ Primary General 499.98 Other (specify) Full Name (Last, First, Middle Initial) c. Lisa Fues Date of Receipt Mailing Address 1101 New York Ave NW 23 2015 Ste 800 City Zip Code State Transaction ID: 2016010814754-1009 DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 19.23 С federal political committee. Name of Employer Occupation Vice President Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 499 98 Other (specify) 5038.46 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 13 OF Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page

32

13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Marin E. Gibson Date of Receipt Mailing Address 120 Broadway FI 35 09 2015 City Zip Code State Transaction ID: AD4338577A9A41FDB78B NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 76.92 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director & Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 1999.92 Other (specify) Full Name (Last, First, Middle Initial) B. Marin E. Gibson Date of Receipt Mailing Address 120 Broadway FI 35 12 23 2015 City State Zip Code Transaction ID: 2016010814754-1010 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 76.92 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director & Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 1999.92 Other (specify) Full Name (Last, First, Middle Initial) c. Christopher Killian Date of Receipt Mailing Address 120 Broadway 09 2015 FI 35 City Zip Code State Transaction ID: 3139F1E242D0420CA92D NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 38.50 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 423.50 Other (specify)

- 9

192.34

SUBTOTAL of Receipts This Page (optional).....

TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 14 OF Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page

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14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Christopher Killian Date of Receipt Mailing Address 120 Broadway FI 35 2015 City Zip Code State Transaction ID: 2016010814754-1011 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 423.50 Other (specify) Full Name (Last, First, Middle Initial) B. David Krasner Date of Receipt Mailing Address 120 Broadway FI 35 12 09 2015 City State Zip Code Transaction ID: DDBAB02F9ADC45758110 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 192.35 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Chief Financial Officer Receipt For: Aggregate Year-to-Date ▼ Primary General 3149.80 Other (specify) Full Name (Last, First, Middle Initial) c. David Krasner Date of Receipt Mailing Address 120 Broadway 23 2015 FI 35 City Zip Code State Transaction ID: 2016010814754-1012 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 192.35 С federal political committee. Name of Employer Occupation Chief Financial Officer Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 3149.80 Other (specify) 423.20 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 15 OF 32 Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page

13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Nancy Donohoe Lancia Date of Receipt Mailing Address 120 Broadway FI 35 09 2015 City Zip Code State Transaction ID: 7C920F7FD51A4013A38F NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Name of Employer Occupation Managing Director, State Govt. Affairs Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Nancy Donohoe Lancia Date of Receipt Mailing Address 120 Broadway FI 35 12 23 2015 City State Zip Code Transaction ID: 2016010814754-1013 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 37.50 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director, State Govt. Affairs Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) Full Name (Last, First, Middle Initial) Theodore Lazo Date of Receipt Mailing Address 1101 New York Ave NW 09 2015 Ste 800 City Zip Code State Transaction ID: F3EDE2E9534E42418F36 DC Washington 20005-4279 Amount of Each Receipt this Period FEC ID number of contributing 38.50 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) 114.50 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only)..... - 9

FOR LINE NUMBER: PAGE 16 OF Use separate schedule(s) (check only one) X 11a 11b 12 11c

32

for each category of the Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Theodore Lazo Date of Receipt Mailing Address 1101 New York Ave NW Ste 800 2015 City State Zip Code Transaction ID: 2016010814754-1014 DC 20005-4279 Washington Amount of Each Receipt this Period FEC ID number of contributing 37.50 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Laura A. Martin Date of Receipt Mailing Address 120 Broadway FI 35 12 09 2015 City State Zip Code Transaction ID: CEB90C21677649A5A14E NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 615.00 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) Full Name (Last, First, Middle Initial) c. Laura A. Martin Date of Receipt Mailing Address 120 Broadway 23 2015 FI 35 City Zip Code State Transaction ID: 2016010814754-1015 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 38.50 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 1000.00 Other (specify) 691.00 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only)..... - 9

FOR LINE NUMBER: PAGE 17 OF 32 Use separate schedule(s) (check only one) for each category of the X 11a 11b 12 11c Detailed Summary Page

14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) John McCarthy Date of Receipt Mailing Address 4009 64th St 09 2015 City Zip Code State Transaction ID: ADCF798612224573A429 MD Bethesda 20816-2617 Amount of Each Receipt this Period FEC ID number of contributing 250.00 federal political committee. Name of Employer Occupation General Counsel & Corporate Secretary KCG Holdings, Inc. Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) Full Name (Last, First, Middle Initial) B. Lauren Murray Date of Receipt Mailing Address 360 Madison Ave FI 18 12 09 2015 City State Zip Code Transaction ID: E704FBC7C1F44DE8BB88 NY New York 10017-7122 Amount of Each Receipt this Period FEC ID number of contributing 10.00 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Associate; Private Client Group Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) Full Name (Last, First, Middle Initial) c. Lauren Murray Date of Receipt Mailing Address 360 Madison Ave 23 2015 FI 18 City Zip Code State Transaction ID: 2016010814754-1016 NY New York 10017-7122 Amount of Each Receipt this Period FEC ID number of contributing 10.00 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Associate; Private Client Group Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) 270.00 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only)..... - 9

FOR LINE NUMBER: PAGE 18 OF Use separate schedule(s) (check only one) X 11a 11b 12 11c

32

for each category of the Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Steffen Parratt Date of Receipt Mailing Address 11 Sarah Dr 2015 City Zip Code State Transaction ID: 1EB5057D97327AFC649 Princeton Junction NJ 08550-1244 Amount of Each Receipt this Period FEC ID number of contributing 2500.00 federal political committee. Name of Employer Occupation KCG Holdings Inc. Receipt For: Aggregate Year-to-Date ▼ Primary General 2500.00 Other (specify) Full Name (Last, First, Middle Initial) B. Darrah Rafferty Date of Receipt Mailing Address 360 Madison Ave FI 18 12 09 2015 City State Zip Code Transaction ID: A52B55367D2E4DA7972A NY New York 10017-7122 Amount of Each Receipt this Period FEC ID number of contributing 10.00 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director, Human Resources Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) Full Name (Last, First, Middle Initial) c. Darrah Rafferty Date of Receipt Mailing Address 360 Madison Ave 23 2015 FI 18 City Zip Code State Transaction ID: 2016010814754-1017 NY New York 10017-7122 Amount of Each Receipt this Period FEC ID number of contributing 10.00 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director, Human Resources Receipt For: Aggregate Year-to-Date ▼ Primary General 250.00 Other (specify) 2520.00 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 19 OF Use separate schedule(s) (check only one) X 11a 11b 12 11c

32

for each category of the Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Randolph Snook Date of Receipt Mailing Address 360 Madison Ave 2015 City Zip Code State Transaction ID: F7893B41EC2006C9352 NY New York 10017-7111 Amount of Each Receipt this Period FEC ID number of contributing 2500.00 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark **Executive Vice President** Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Thomas P. Tierney Date of Receipt Mailing Address 120 Broadway FI 35 12 09 2015 City State Zip Code Transaction ID: CD4F6CDCCC3F4DDFB61F NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 480.82 Other (specify) Full Name (Last, First, Middle Initial) c. Thomas P. Tierney Date of Receipt Mailing Address 120 Broadway 23 2015 FI 35 City Zip Code State Transaction ID: 2016010814754-1018 NY New York 10271-3599 Amount of Each Receipt this Period FEC ID number of contributing 19.23 С federal political committee. Name of Employer Occupation Securities Industry and Financial Mark Managing Director Receipt For: Aggregate Year-to-Date ▼ Primary General 480.82 Other (specify) 2538.46 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

Use separate schedule(s) for each category of the Detailed Summary Page

ı	FOR LINE	MOMBER:	PAGE	= 20 OF	32
ı	(check only	one)			
	X 11a	11b	11c	12	
ı	13	14	15	16	17

or for commercial purposes, other than u	sing the name and address of any political committee	
NAME OF COMMITTEE (In Full) Securities Industry and Fire	nancial Markets Association Political A	ction Committee
Full Name (Last, First, Middle Initial) A. Gregory Tusar	Date of Receipt	
Mailing Address 545 Washington Blvd		12 14 2015
City	State Zip Code NJ 07310-1607	Transaction ID : D934C5EABE8283B0EF
Jersey City	110 07310-1007	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	500.00
Name of Employer	Occupation	1
KCG Holdings, Inc.	Co-Head of Global Execution Services a	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	500.00	
Full Name (Last, First, Middle Initial) 3.	1	Date of Receipt
Mailing Address		M = M / D = D / Y = Y = Y
City	State Zip Code	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	
Name of Employer	Occupation	_
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼	
Full Name (Last, First, Middle Initial)		Date of Receipt
Mailing Address		M = M / D = D / Y = Y = Y
City	State Zip Code	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	
Name of Employer	Occupation	-
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼	
SUBTOTAL of Receipts This Page (opti	onal)	500.00
TOTAL This Period (last page this line	number only)	13903.48

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SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 21 OF 32 (check only one) 11a 11b X 11c 12 13 14 15 16 17	
Any information copied from such Reports and S or for commercial purposes, other than using the				
NAME OF COMMITTEE (In Full) Securities Industry and Financi	al Market	s Association Political	Action Committee	
Full Name (Last, First, Middle Initial) A. Bipartisan Political Action Committee/the Bar	nk of New York	Mellon Corporation Bipac/Bnym	C Date of Receipt	
Mailing Address Bny Mellon Center, Room 32 500 Grant Street	25		12 18 2015	
City Pittsburgh	State PA	Zip Code 15258-0001	Transaction ID: 8F4E31D21D774D22B4C7	
FEC ID number of contributing federal political committee.	C co	0017558	Amount of Each Receipt this Period 5000.00	
Name of Employer	Occupation			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00		
Full Name (Last, First, Middle Initial) B. Jpmorgan Chase & Co. PAC			Date of Receipt	
Mailing Address 601 Pennsylvania Avenue, N' 7th Floor	Mailing Address 601 Pennsylvania Avenue, NW 7th Floor			
City Washington	State DC	Zip Code 20004	12 21 2015 Transaction ID : EA0647EFC5C44380B6E8 Amount of Each Receipt this Period	
FEC ID number of contributing federal political committee.	C cod	0128512	2500.00	
Name of Employer	Occupation			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 5000.00		
Full Name (Last, First, Middle Initial) C. Principal Life Insurance Company	y Political <i>I</i>	Action Committee	Date of Receipt	
Mailing Address 711 High Street Government Relations			12 01 2015 _	
City Des Moines	State IA	Zip Code 50392-0220	Transaction ID : 525BFD3F86BD49B6A7BI Amount of Each Receipt this Period	
FEC ID number of contributing federal political committee.	C C00128918		2000.00	
Name of Employer	Occupation			
Receipt For: Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 2000.00		
SUBTOTAL of Receipts This Page (optional)			9500.00	

TOTAL This Period (last page this line number only).....

SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS	20.1	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 22 OF 32 (check only one) 11a 11b X 11c 12 13 14 15 16 17
Any information copied from such Reports and Sor for commercial purposes, other than using the NAME OF COMMITTEE (In Full) Securities Industry and Financial	e name and a	address of any political committee	e to solicit contributions from such committee.
Full Name (Last, First, Middle Initial) U.S. Bancorp Federal Political Action Mailing Address 950 F Street NW Suite 750 City Washington FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify)	State DC C0	Zip Code 20004 0488882	Date of Receipt 12
Full Name (Last, First, Middle Initial) Ubs Americas Inc. Political Action C Mailing Address 677 Washington Boulevard C/O Per Dyrvik City Stamford FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify)	State CT Co.	Zip Code 06901 0012245	Date of Receipt 12 18 2015 Transaction ID: 153DD07C8F9F4BA8AD68 Amount of Each Receipt this Period 5000.00
Full Name (Last, First, Middle Initial) Mailing Address City FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify)		Zip Code Year-to-Date ▼	Date of Receipt M = M / D D / Y = Y = Y = Y Amount of Each Receipt this Period
SUBTOTAL of Receipts This Page (optional)			7500.00

TOTAL This Period (last page this line number only).....

17000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 23 OF 32 (check only one) 11a 11b 11c 12 13 14 X 15 16 17
Any information copied from such Reports and or for commercial purposes, other than using to NAME OF COMMITTEE (In Full) Securities Industry and Finance	the name and a	address of any political committee	e to solicit contributions from such committee.
Full Name (Last, First, Middle Initial) A. SIFMA Mailing Address 1101 New York Avenue, NV 8th Floor City Washington FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify)	State DC C	Zip Code 20005 Year-to-Date ▼	Date of Receipt 12 31 2015 Transaction ID: B84C9D2B543C476EA584 Amount of Each Receipt this Period 251.69 Reimbursement of Bank Fees
Full Name (Last, First, Middle Initial) Mailing Address City FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify) Other (specify)	State C Occupation Aggregate	Zip Code Year-to-Date ▼	Date of Receipt M M M / D D / Y Y Y Y Y Amount of Each Receipt this Period
Full Name (Last, First, Middle Initial) C. Mailing Address City FEC ID number of contributing federal political committee. Name of Employer Receipt For: Primary General Other (specify)	State C Occupation Aggregate	Zip Code Year-to-Date ▼	Date of Receipt M M M / D D / Y Y Y Y Y Y Amount of Each Receipt this Period
SUBTOTAL of Receipts This Page (optional).			251.69

TOTAL This Period (last page this line number only).....

251.69

S	CHEDULE B (FEC Form 3X)	Hee	wata ashasilai.				NUMBER	:			PAGE	24	OF 32
IT	EMIZED DISBURSEMENTS	for each	arate schedule(s) category of the Summary Page			only 21b 27	one) 22 28a		23 28b		24 28c	25 29	26
	y information copied from such Reports and Stater for commercial purposes, other than using the nam												
\rangle	NAME OF COMMITTEE (In Full) Securities Industry and Financial M	1arkets A	Association	Poli	tica	l Act	ion Co	omn	nitte	e			
Α.	Full Name (Last, First, Middle Initial) PNC Bank						Date o	f Dis	burse	ment			
	Mailing Address 1400 K Street, NW						12	/	0.	_		2015	Y
	Washington	State DC	Zip Code 20005				Trans	sactio	on ID	: 0D7	C335E	69B81	199F95
	Purpose of Disbursement Bank Fee Candidate Name				001		Amoun	t of E	Each	Disbu	ırseme	nt this	Period
	Office Sought: House Disburser	ment For:			tegor Type	y/ 	L.		,	_	7	1	3.00
	Senate President	Primary Other (spec	General cify) ▼										
В.	State: District: Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW						Date o		burse 0	D /		y y y 2015	Y
		State DC	Zip Code 20005					saction					7FF2FC
	Purpose of Disbursement Credit Card Fees		20003		001	\exists	Amoun	t of E	Each	Disbu	ırseme	nt this	Period
	Candidate Name Office Sought: House Disburser	mont For			tegor Type	y/			,		,	20	9.78
	Office Sought: House Disburser	Primary Other (spec	General cify) ▼										
C.	Full Name (Last, First, Middle Initial) PNC Bank						Date o	_	burse		V	Y I Y	V
	Mailing Address 1400 K Street, NW						12		02	_		2015	
	•	State DC	Zip Code 20005	_			Trans	sactio	on ID	: E90	E430[D4240	CC18275
	Bank Fee Candidate Name			Ca	001 tegor Type	y/	Amoun	t of E	Each	Disbu	ırseme		Period 8.91
	Office Sought: House Disburser Senate President State: District:	ment For: Primary Other (spec	General ify) ▼		туре						7		
s	UBTOTAL of Disbursements This Page (optional)					<u> </u>					7	25	1.69
т	OTAL This Period (last page this line number only)					•					,		

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SCHEDULE B (FEC Form 3X)		FOR LINE NUMBER: PAGE 25 (
ITEMIZED DISBURSEMENTS	Use separate schedule(s for each category of the	(CITCON C	,		7.05 - 7.06		
	Detailed Summary Page	X 21		23 28b	24 28c	25 29	26 30b
Г							
Any information copied from such Reports and States or for commercial purposes, other than using the nar							
NAME OF COMMITTEE (In Full)							
Securities Industry and Financial N	Markets Association	Political /	Action Co	ommitte	е		
Full Name (Last, First, Middle Initial)							
A. PNC Bank			Date o	f Disburse		Y	V
Mailing Address 1400 K Street, NW		12	31		2015		
	City State Zip Code						BABB68
Washington	DC 20005			Saction ID	. JAF43EA	1010020	JADDUO
Purpose of Disbursement Check Printing Fee		001	Amoun	it of Each	Disburseme	ent this F	Period
Candidate Name		Category/ Type	1 🗀			53	.60
Office Sought: House Disburse	ment For:	Турс		,	,		
Senate	Primary General						
President	Other (specify) ▼						
State: District:							
Full Name (Last, First, Middle Initial)			D.t.	(Dialaman			
В.			Date o	f Disbursei			
Mailing Address			M = M	/ D	D / Y	Y	Y
Maining / tod/1000							
City	State Zip Code						
Purpose of Disbursement							
Fulpose of Dispulsement			Amoun	t of Each	Disburseme	ent this F	Period
Candidate Name	Candidate Name						
		Category/ Type		,	,		
Office Sought: House Disburse	ment For:						
Senate	Primary General						
President	Other (specify) ▼						
State: District:							
Full Name (Last, First, Middle Initial) C.			Date o	f Disburse	ment		
			M	/ D	D / Y	YY	Υ
Mailing Address			T L.	J L.	┚┕		
City	State Zip Code						
Durage of Dishamours of			_				
Purpose of Disbursement			1 .				
Candidate Name			Amoun	it of Each	Disburseme	nt this F	² eriod
Canada Name		Category/ Type					
Office Sought: House Disburse	ment For:	71			-		
Senate	Primary General						
President	Other (specify) ▼						
State: District:							
SUBTOTAL of Disbursements This Page (optional)						53.	.60
2 20 (2) 100			- ==		7	-	一
TOTAL This Period (last page this line number only)					305.	.29

SCHEDULE B (FEC Form 3)	,	, FOR LINE	NUMBER: PAGE 26 OF 32
ITEMIZED DISBURSEMENTS	Use separate schedule(s	(orleast orliny	
	Detailed Summary Page		22 X 23 24 25 26 28a 28b 28c 29 30b
Any information copied from such Reports a or for commercial purposes, other than using			
NAME OF COMMITTEE (In Full)	,		
Securities Industry and Final	ncial Markets Association	Political Ac	tion Committee
/	iolai mamolo / loccolalici		
Full Name (Last, First, Middle Initial)			
A. Ben Cardin for Senate, Inc.			Date of Disbursement
Mailing Address PO Box 21093			12 16 2015
City	State Zip Code		Transaction ID : 19B79FA0AE2DCDD79BB
Catonsville	MD 21228		Transaction is . 135731 AGALLEGODE 1355
Purpose of Disbursement Void 11-30-2015 Contribution, 2018 Prima	ıry	011	Amount of Each Disbursement this Period
Candidate Name			Amount of Each Disbursement this Feriod
Benjamin L. Cardin		Category/ Type	-1000.00
	Disbursement For: 2018		·
Senate	Primary General		
President	Other (specify) ▼		
State: MD District:			
Full Name (Last, First, Middle Initial) B. Rob Goodlotto for Congress	Committee		Date of Disbursement
B. Bob Goodlatte for Congress	Committee		M M / D D / Y Y Y Y
Mailing Address PO Box 292			12 03 2015
City Roanoke	State Zip Code VA 24002		Transaction ID: 0A99F13C5ABA291C631
Purpose of Disbursement	VA 24002		
2016 Primary		011	Amount of Each Disbursement this Period
Candidate Name		Category/	4000.00
Robert William Goodlatte		Type	1000.00
	Disbursement For: 2016		
Senate President	Primary General Other (specify) ▼		
State: VA District: 06	Other (speeliy)		
Full Name (Last, First, Middle Initial)			
C. Carper for Senate			Date of Disbursement
			M M / D D / Y Y Y Y Y
Mailing Address PO Box 2882			12 14 2015
City	State Zip Code		
Wilmington	DE 19805		Transaction ID: B61A65D9E88D087917D
Purpose of Disbursement			
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Candidate Name Thomas Richard Carpor		Category/	-1000.00
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State: DE District:	, L		
State: DE District:	Other (specify)		1000.00
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or	for commercial purposes, other than using the nam	e and addre	ess of any political	I committe	e to so	olicit con	tributions	from s	such co	mmitte	ee.	
$\overline{\ }$	NAME OF COMMITTEE (In Full)											
	Securities Industry and Financial M	arkets A	ssociation P	olitical	Actic	on Co	mmitte	96				
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	Full Name (Last, First, Middle Initial)											
Α.	Castro for Congress					Date of	Disburse	ement				
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	Mailing Address PO Box 544					12	1	1	20)15		
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	Candidate Name			011	J	Amount	of Each	Disburs	sement	this F	erioa	
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	Joaquin Castro Office Sought: House Disbursem	nent For: 20		Type	_		7					
		Primary	General									
	State: TX District: 20	Other (speci	liy) ▼									
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R	Full Name (Last, First, Middle Initial) Committee for Hispanic Causes/Building Our Leader	ehin Divareit	V PAC (CHC BOLL	D PAC)		Data of	Disburse	mont				
٠.	Committee for Filoparite Caacoo, Ballaring Car Loador	omp Divoron	., . , (01.10.202.	217(0)		Date of	_	_				
	Mailing Address PO Box 75357					12)2)15	Y	
	Walling Address FO Box 75557					1,Z		,,,		310		
	City	State	Zip Code						DD74			
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C .	Washington Purpose of Disbursement Void 10-07-2015 Contribution, 2015 Contribution Candidate Name Committee for Hispanic Causes/Building Our Leadership Diversity Office Sought: House Senate President State: District: Full Name (Last, First, Middle Initial) Committee To Re-Elect Linda Sand Mailing Address 410 1st St SE Suite 310 City	PAC (CHC BC) nent For: 20 Primary Other (special	20013 OLD PAC) O15 General ffy) Contribution	Category/	,	Date of	of Each	Disburs	sement	this F -2500	Period .00	_
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	NAME OF COMMITTEE (In Full)		5	1'.' I A					
[/	Securities Industry and Financial M	larkets Assoc	ciation P	olitical Ac	tion Commit	tee			
<u></u>	Full Name (Last, First, Middle Initial)			i					
A.	David Rouzer for Congress				Date of Disbur	sement			
					M M / D	D / Y Y Y Y Y			
	Mailing Address PO Box 2267				12	11 2015			
	City	State Zip C	ode						
	Smithfield	NC 2757			Transaction	ID: 19FCB7369DED9E75B50			
	Purpose of Disbursement								
	2016 Primary			011	Amount of Eac	ch Disbursement this Period			
	Candidate Name			Category/		1000.00			
	David C. Rouzer Office Sought: House Disburser	nent For: 2016		Туре	7				
			General						
	President	Other (specify)							
	State: NC District: 07								
	Full Name (Last, First, Middle Initial)								
В.	David Scott for Congress				Date of Disbur	sement			
	Mailing Address PO Box 960821				M M / D	11 2015			
	Mailing Address PO Box 960821				12	11 2015			
	City	State Zip C	ode		Transaction	ID : F5E78277754FB6FA990			
	Riverdale	GA 3029	6		Transaction	ID . 1 3E/02/// 341 B01 A330			
	Purpose of Disbursement 2016 General			011	Amount of Fac	ch Disbursement this Period			
	Candidate Name				Amount of Lac	on Dispursonichi this i chou			
	David Albert Scott			Category/ Type		1000.00			
	Office Sought: House Disburser	nent For: 2016							
	Senate	Primary X	General						
	President	Other (specify)							
_	State: GA District: 13								
С	Full Name (Last, First, Middle Initial) DSCC				Date of Disbur	sement			
•	D300				M = M / D				
	Mailing Address 120 Maryland Ave NE		12	18 2015					
	Σ								
	City S Washington	State Zip C DC 2000			Transaction	ID: D9DD8681115D1DAF31A			
	Purpose of Disbursement	2000							
	2015 Contribution			011	Amount of Eac	ch Disbursement this Period			
	Candidate Name			Category/		5000.00			
	DSCC			Туре		5000.00			
	Office Sought: House Disburser Senate	nent For: 2015 Primary	General						
	President	Other (specify)							
	State: District:		ontribution						
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NAME OF COMMITTEE (In Full)							
Securities Industry and Financial	Markets Association	n Political Ad	tion Committee)			
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Full Name (Last, First, Middle Initial)			Date of Disbursem	ont			
A. Fearless PAC	realless PAC						
Mailing Address PO Box 37	12 11	2015					
City							
Boulder Purpose of Disbursement	CO 80306			7140A57ECA1DE10F892			
2015 Contribution		011	Amount of Each D	isbursement this Period			
Candidate Name		Category/					
Fearless PAC		Type		1000.00			
	ement For: 2015						
Senate	Primary General						
State: President State:	Other (specify) Contribution	on					
Full Name (Last, First, Middle Initial)	Общиван	011					
B. Filemon Vela for Congress			Date of Disbursem	ent			
			M M / D D				
Mailing Address 10715 Gulfdale St			12 16	2015			
Ste 235							
City San Antonio	State Zip Code TX 78216		Transaction ID :	5E3FB0F169DD1CF7E39			
Purpose of Disbursement	70210						
2016 Primary		011	Amount of Each D	isbursement this Period			
Candidate Name		Category/		1000.00			
Filemon Bartolome Vela Jr.		Type		1000.00			
	ement For: 2016						
President	Primary General Other (specify) ▼						
State: TX District: 34	□ Carlot (opcony) ▼						
Full Name (Last, First, Middle Initial)							
C. Hal Rogers for Congress			Date of Disbursem	ent			
			M M / D D				
Mailing Address PO Box 1214			12 16	2015			
City	State Zip Code		_				
Somerset	KY 42502		Transaction ID:	65320704812051B3700			
Purpose of Disbursement							
2016 Primary		011	Amount of Each D	isbursement this Period			
Candidate Name Harold D. Rogers		Category/		1000.00			
	ement For: 2016	Type					
Senate Season	Primary General						
President	Other (specify) ▼						
State: KY District: 05							
				2000.00			
SUBTOTAL of Disbursements This Page (optional)		·····	,	3000.00			
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NAME OF COMMITTEE (In Full)				
Securities Industry and Financial	Markets Association	n Political Ac	tion Committee	
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Full Name (Last, First, Middle Initial)			Date of Divi	
A. Hudson for Congress			Date of Disbursem	_
Mailing Address PO Box 5053			12 16	2015
maming / tautiese C Box 0000			.2 .0	2010
City	State Zip Code		Transaction ID : 4	55083CD106849C2F4C2
Concord	NC 28027-1500		Transaction iD)J003CD100049C2F4C2
Purpose of Disbursement 2016 Primary		011	Amount of Each Di	sbursement this Period
Candidate Name			Amount of Each Di	spursement this renou
Richard Lane Hudson Jr.		Category/ Type		1000.00
	ement For: 2016	71	,	,
	Primary General			
President	Other (specify) ▼			
State: NC District: 08				
B. Jaime for Congress			Date of Disburseme	ant
B. Jaime for Congress			M M / D D	/ Y Y Y Y
Mailing Address PO Box 1614			12 03	2015
City	State Zip Code		Transaction ID:	85F6629A68ED53444CF
Ridgefield Purpose of Disbursement	WA 98642-0020			
2016 Primary		011	Amount of Each Di	sbursement this Period
Candidate Name		Category/		
Jaime Lynn Herrera Beutler		Type		1000.00
	ement For: 2016			
	Primary General			
State: WA District: 03	Other (specify) ▼			
Full Name (Last, First, Middle Initial)				
C. McCaskill for Missouri			Date of Disburseme	ent
			M M / D D	/ Y Y Y Y Y
Mailing Address PO Box 300077			12 11	2015
City	State 7in Onda			
City St Louis	State Zip Code MO 63130		Transaction ID:	2C38AFDD3E406C529FC
Purpose of Disbursement	33.33			
2018 Primary		011	Amount of Each Di	sbursement this Period
Claire Conner McCookill		Category/		1000.00
Claire Conner McCaskill	amont For: 2012	Туре		1000.00
Office Sought: House Disburse	ement For: 2018 Primary General			
President	Other (specify)			
State: MO District:	\ \(\text{C} = \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \			
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SUBTOTAL of Disbursements This Page (optional)				3000.00
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SCHEDULE B (FEC Form 3X)		FOR LINE	NUMBER: PAGE 31 OF 32
ITEMIZED DISBURSEMENTS	Use separate schedule(s for each category of the Detailed Summary Page	(check only	
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NAME OF COMMITTEE (In Full)			
igg angle Securities Industry and Financial N	Markets Association	Political Ac	tion Committee
Full Name (Last, First, Middle Initial)			
A. Motor City PAC	Date of Disbursement		
Mailing Address 611 Pennsylvania Ave SE Ste 143			12 11 2015
,	State Zip Code		Transaction ID: F1589E11B77F6A5F3DB
Washington	DC 20003		
Purpose of Disbursement 2015 Contribution		011	Amount of Each Disbursement this Period
Candidate Name		Category/	1000.00
Motor City PAC Office Sought: House Disburse	ment For ONE	Туре	
Office Sought: House Disburse Senate President	ment For: 2015 Primary General Other (specify) ▼		
State: District:	Contribution	ı	
Full Name (Last, First, Middle Initial)			
B. Poliquin for Congress			Date of Disbursement
Mailing Address PO Box 50			12 16 2015
City Oakland	State Zip Code ME 04963		Transaction ID : F6CFDB330ABEFD78966
Purpose of Disbursement 2016 Primary		011	Amount of Each Disbursement this Period
Candidate Name			
Bruce Lee Poliquin		Category/ Type	1000.00
	ment For: 2016 Primary General Other (specify) ▼		
Full Name (Last, First, Middle Initial) C. Richard E Neal for Congress Com	Date of Disbursement		
Mailing Address 76 Magnolia Terrace			12 11 2015
City Springfield	State Zip Code MA 01108		Transaction ID: 4774463EC7A6BC08310
Purpose of Disbursement 2016 Primary		011	
Candidate Name			Amount of Each Disbursement this Period
Richard Edmund Neal		Category/ Type	1000.00
Office Sought: House Senate President State: MA District: 01	ment For: 2016 Primary General Other (specify)		
			3000.00
SUBTOTAL of Disbursements This Page (optional)		·····	3000.00
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NAME OF COMMITTEE (In Full)				
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Full Name (Last, First, Middle Initial)			Data of Diahamaan	
A. Richmond for Congress			Date of Disbursem	
Mailing Address 1631 Elysian Fields			12 22 2015	
Suite 150				
,	State Zip Code		Transaction ID :	476F7D2B927B5174438
New Orleans	LA 70126		Transaction ib .	4701702032703174430
Purpose of Disbursement Void 11-30-2015 Contribution, 2016 Primary		011	Amount of Each D	isbursement this Period
Candidate Name			, and an each b	
Cedric Levon Richmond		Category/ Type		-1000.00
Office Sought: House Disburser	ment For: 2016	1 21		
Senate	Primary General			
President	Other (specify) ▼			
State: LA District: 02				
Full Name (Last, First, Middle Initial) B. Roger Williams for LLS Congress (Committoo		Date of Disbursem	nent
B. Roger Williams for U S Congress (Johnninee		M M / D D	
Mailing Address PO Box 91061			12 16	
,	State Zip Code TX 78709-1061		Transaction ID:	4F335CD871BA758DBDI
Austin Purpose of Disbursement	TX 78709-1061			
2016 Primary		011	Amount of Each D	isbursement this Period
Candidate Name		Category/		1000.00
Roger Williams		Type		1000.00
	ment For: 2016			
Senate President	Primary General			
State: TX District: 25	Other (specify) ▼			
Full Name (Last, First, Middle Initial)				
C. Tony Cardenas for Congress			Date of Disbursem	nent
		M M / D D	/ Y = Y = Y	
Mailing Address 249 E. Ocean Blvd. Suite 685			12 16	2015
City	State Zip Code			
City Long Beach	CA 90802		Transaction ID :	3EF081BC3C7B8992292
Purpose of Disbursement				
2016 Primary		011	Amount of Each D	isbursement this Period
Candidate Name		Category/		1000.00
Tony Cardenas Office Sought: House Disburser	mont For: 2010	Туре		1000.00
Office Sought: House Disburser Senate	ment For: 2016 Primary General			
President	Other (specify)			
State: CA District: 29	(13) ▼			
- '				
SUBTOTAL of Disbursements This Page (optional)				1000.00
		<u> </u>		40500.00
TOTAL This Period (last page this line number only)			1	16500.00